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PTO/SB/05 (4/98)  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
OMB 0651-0032  
number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 C.F.R. § 1.53 (b))	Attorney Docket No.	LEX-0042-USA
	First Inventor or Application Identifier	Gregory Donoho et al.
	Title	Novel Human Protease Inhibitor-Like Proteins and Polynucleotides Encoding the Same
	Express Mail label No.	EL584856694US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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1 <input type="checkbox"/> *Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	5 <input type="checkbox"/> Microfiche Computer Program (Appendix)
2 <input checked="" type="checkbox"/> Specification [Total 25] Pages (preferred arrangement set forth below)	6 Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- Descriptive title of the Invention	a. <input type="checkbox"/> Computer Readable Copy
- Cross References to Related Applications	b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy)
- Statement Regarding Fed sponsored R & D	c. <input type="checkbox"/> Statement verifying identity of above copies
- Reference to Microfiche Appendix	
- Background of the Invention	
- Brief Summary of the Invention	
- Brief Description of the drawings (if filed)	
- Detailed Description	
- Claim(s)	
- Abstract of the disclosure	

3 <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total 1] Sheets	<b>ACCOMPANYING APPLICATION PARTS</b>	
4 Oath or Declaration [Total 1]	7 <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
a. <input checked="" type="checkbox"/> Newly unexecuted (original or copy)	8 <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney	
b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)	9 <input type="checkbox"/> English Translation Document (if applicable)	
i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	10 <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
	11 <input type="checkbox"/> Preliminary Amendment	
	12 <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
	13 <input checked="" type="checkbox"/> *Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired (PTO/B/09-12)	
	14 <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
	15 <input type="checkbox"/> Other: _____	

NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

**17. CORRESPONDENCE ADDRESS**

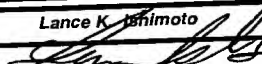
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Country: \_\_\_\_\_ Telephone: (281) 362-6554 Fax: (281) 364-0155

Name (Print/Type)	Lance K. Shimoto	Registration No.	41866
Signature		Date	Sept. 22, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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PTO/SB/05 (4/98)

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53 (b))

Attorney Docket No.

LEX-0042-USA

First Inventor or Application Identifier

Gregory Donoho et al.

Title

Novel Human Protease Inhibitor-Like Proteins and Polynucleotides Encoding the Same

Express Mail label No.

EL584856694US

PTO  
09/667380

09/22/00

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(Submit an original and a duplicate for fee processing)

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Pages  
(preferred arrangement set forth below)

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4. Oath or Declaration [Total

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- a. ☒ Newly unexecuted (original or copy)
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ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

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(if applicable, all necessary)

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## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
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Prior application information: Examiner: .....

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## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer Number or Bar Code Label here)

or ☐ Correspondence address below

Name	24231		
Address	PATENT TRADEMARK OFFICE		
City	State	Zip Code	
Country	Telephone	Fax	(281) 364-0155

Name (Print/Type)	Lance K. Ishimoto	Registration No.	41866
Signature		Date	Sept. 22, 2000

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**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c)) -- SMALL BUSINESS CONCERN**

Docket Number (Optional)  
**LEX-0042-USA**

Applicant, Patentee, or Identifier: Gregory Donoho et al.

Application or Patent No.: \_\_\_\_\_

Filed or Issued: September 22, 2000

Title: Novel Human Protease Inhibitor-Like Proteins and Polynucleotides Encoding the Same

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Lexicon Genetics Incorporated

ADDRESS OF SMALL BUSINESS CONCERN 4000 Research Forest Drive, The Woodlands, TX 77381

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ No such persons, concerns, or organizations exist.  
☐ each such person, concern, or organization is listed below:

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Lance K. Ishimoto

TITLE OF PERSON IF OTHER THAN OWNER Vice President - Intellectual Property

ADDRESS OF PERSON SIGNING 4000 Research Forest Drive, The Woodlands, TX 77381

SIGNATURE

Reg. No. 41,866

DATE September 22, 2000